

General Records Schedule

Administrative Records



Approved August 2010

Revised March 2014

**For use by
State of Wisconsin Government Agencies**

TABLE OF CONTENTS

Scope	3
Records Series Titles and Categories	4-14
Approved Statewide General Records Schedules.....	15

SCOPE

The General Records Retention Schedule for administrative records for Wisconsin state agencies is designed to cover records created in the process of planning and carrying out the administrative tasks of an agency or office that are not covered by agency program-specific or other approved general schedules.

This retention schedule applies to records in all media.

This schedule supersedes the Common Records General Records Schedule in Wisconsin for state agencies, counties, municipalities, or other local units of government.

A companion document, [Introduction to General Records Schedules-Boilerplate, June 2009](http://publicrecordsboard.wi.gov/docview.asp?docid=16116&locid=165), located at the Public Records Board web site (<http://publicrecordsboard.wi.gov/docview.asp?docid=16116&locid=165>), provides more information and guidance about the use of general records schedules by Wisconsin state agencies.

Personally Identifiable Information (PII): Wisconsin law requires authorities to identify specifically certain record series within a general records schedule that contain PII. The statute defines PII broadly as “information that can be associated with a particular individual through one or more identifiers or other information or circumstances.” Wis. Stats. § 19.62(5). Despite this broad definition, the statute, Wis. Stat. § 16.61(3)(u), requires that record series within a schedule containing the following types of PII need not be identified as such: a) mailing lists; b) the results of certain computer matching programs; c) telephone or e-mail directories; d) record series pertaining exclusively to agency employees; and e) those relating to state agency procurement or budgeting. As to those record series identified as containing PII, the schedule should further indicate whether the PII is incidental to the primary purpose for which the record series is created. Additional information and definitions of key terms relating to PII are provided at <http://itsecurity.wi.gov/>. If in doubt as to whether a specific record series contains PII, check with agency legal counsel, either within your agency or by contacting the Attorney General’s office.

Confidentiality of Records: Some record series may contain confidential or restricted access records such as social security numbers. The schedule should identify any record series containing information required by law to be kept confidential or specifically required to be protected from public access, identifying the state or federal statute or administrative rule that so requires. NOTE: Some, but not all PII is confidential. At the same time, records not containing PII may be required by law to be kept confidential. The designation of a particular record series as “confidential” relates primarily to the general schedule’s function in regulating the retention and disposition—including destruction—of the record series. In contrast, public access to records is determined by the Public Records law and not simply by the designation of confidentiality in a record schedule. If in doubt as to whether or not a specific record is confidential, check with legal counsel, either within your agency or by contacting the Attorney General’s office.

RDA Number	Records Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
Activity and Production and Annual Reports						
ADM00001 <i>[Supersedes Common Records GRS Series 90500000]</i>	Routine Activity and Production Reports Created by Individuals or Work Units	Occasional and/or periodic reports by individuals, offices or teams that document the business of the agency. Note: Reports at the division level must be retained under a program-specific RDA.	Creation + 1 year and destroy	No	No	Progress reports Workload reports Status of work assignments Backlog and production reports
ADM00001A	Activity (Status) Reports Received from Bureaus within the Division and Division Status Reports Prepared for the Office of the Secretary	Occasional and/or periodic reports that document and report on the business functions of the division and its supporting bureaus.	Creation + 3 years and Transfer to WHS or UW-Madison Archives	No	No	The official records of the any Board's, Councils or Commissions established by legislation or Governor's Executive Order should follow ADM00025 in the Administrative General Records Schedule. The official records of any teams, projects, or workgroups that have potential program/policy impact should follow ADM00026 in the Administrative General Records Schedule. The official records of any teams, projects or workgroups that relate to internal and routine activities should follow ADM00027 in the Administrative General Records Schedule.
Agency Reports Required by Statutes						
ADM00002	Biennial or Annual Report Documentation	Agency files associated with preparing the agency biennial or annual reports submitted to DOA. Material related to Biennial or Annual reports prepared by agencies as required by Wis. Stat. 15.04.	Event + 4 years and destroy Event is the date of the report submittal	No	No	The completed reports are publications that must be made available per Wis. Stat. 35.83 to various libraries.

RDA Number	Records Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
Administrative Rules						
ADM00003	Administrative Rules	<p>This series includes records used to develop and revise Administrative Codes (Administrative Rules).</p> <p>This series also contains the final, published Administrative Code, including agency-issued Emergency Rules.</p>	<p>Event + 10 years and Transfer to WHS or UW-Madison Archives</p> <p>Event is the effective date [or legislative objection date] of each rule</p>	No	No	<p>Background materials</p> <p>Notices</p> <p>Rule drafts</p> <p>Code interpretations</p> <p>Summary of public comments from hearings</p> <p>Legislative comments</p> <p>Correspondence</p> <p>Fiscal estimates, orders and reports</p> <p>Note: Final Administrative rules have the force of law and are maintained by the Legislature. See http://www.legis.state.wi.us/rsb/code.htm</p>
Calendars and Schedules						
ADM00004 <i>[Supersedes Common Records GRS Series 90500001 & 002]</i>	Calendars and Schedules – Appointed Staff or Equivalent Positions	Calendars, schedules, diaries and/or meeting logs used to document meetings and appointments.	<p>Event + 3 years and Transfer to WHS or UW-Madison Archives</p> <p>Event is separation from position</p>	Yes	Follow agency specific statutory citations	Appointed Staff Examples may include: Agency Head, Deputy, Executive Assistant, Division Administrators, Regional Directors, etc.
ADM00005 <i>[Supersedes Common Records GRS Series 90500001 & 002]</i>	Calendars and Schedules – Non-Appointed Staff	Calendars, schedules, diaries and/or meeting logs used to document meetings and appointments.	Creation + 1 year and destroy confidential	Yes	Follow agency specific statutory citations	Calendars, appointment books, schedules, reminder notes diaries and logs used by agencies and program units to schedule and document routine activities such as meetings, work shifts, telephone or front desk coverage, and time off or vacations.

RDA Number	Records Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
Charity Drive						
ADM00006	Annual State Sanctioned Charity Campaign	File related to annual state sanctioned charity campaign. Note: Does not include deduction request forms.	Event + 2 and destroy confidential Event is end of annual campaign Deduction request forms follow PAY00021 or PAY00014	No	No	Committee meeting agendas Minutes Flyers Advertisements
Complaints (External)						
ADM00007	Complaints (External) not otherwise regulated by state or federal requirements	File related to complaints regarding issues not related to a specific program.	Event + 2 years and destroy confidential Event is complaint resolution, dismissal or end of litigation	Yes	No	Complaints about agency website, or voice mail loops.
NOTE: Complaints (Internal) – See <u>Human Resources and Related Records General Records Schedule HR000108</u> for Union Member Grievances and <u>HR000110</u> for Non-Represented Grievances						
Continuity of Operations Plans (COOP)						
ADM00008	Agency Final Continuity of Operations/Continuity of Government Operational Plan and Documentation	Agency official copy and work papers of the COOP/COG plan. Note: This record set may be classified as confidential.	Event and destroy confidential Event is superseded by revised plan	Yes	Yes WI Executive Order #81 and/or HSPD-5	A copy is also maintained by DOA in the Long Range Disaster Recovery and Planning System (LDPRS) repository. See IT000015, Disaster Preparedness and Recovery Plans.

RDA Number	Records Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
Correspondence						
ADM00009 <i>[Supersedes Common Records GRS Series 9050003]</i>	Appointed Staff or Equivalent Positions Business-Related Correspondence	Business-related correspondence of the Secretary's Office, Appointed Staff or Equivalent Positions.	Event + 3 years and transfer to WHS or UW-Madison Archives Event is separation from position	Yes	Follow agency specific statutory citations	Includes tracked or controlled correspondence. Appointed Staff Examples may include: Agency Head, Deputy, Executive Assistant, Division Administrators, Regional Directors, etc.
ADM00010 <i>[Supersedes Common Records GRS Series 9050003]</i>	Non-Appointed Staff Business-Related Correspondence	Business-related correspondence of non-appointed staff. Note: Correspondence that relates specifically to a program must be retained under a program-specific RDA.	Creation or receipt + 1 year and destroy confidential	Yes	Follow agency specific statutory citations	This is business correspondence directly related to a position's regularly assigned duties, responsibilities or functions.
ADM00011 <i>[Supersedes Common Records GRS Series 9050005]</i>	Transitory Correspondence and Other Related Records	Correspondence and other related records of short-term interest which have no documentary or evidentiary value. Note: Transitory messages do not set policy, establish guidelines or procedures, document a transaction or become a receipt.	Event and destroy confidential Event is until no longer needed	Yes	No	Routine requests for information that require no policy decision, special compilation or research are transitory to the sender and the recipient

RDA Number	Records Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
Course Materials for Programs Offered by State Staff						
ADM00012	Training/Course Materials	<p>Materials prepared and used by staff to provide information targeted to internal and external audiences.</p> <p>Note: Seminars/training related to law, licensure, certification, etc., must be retained under a program-specific RDA.</p>	<p>Event and destroy</p> <p>Event is superseded or no longer needed</p>	No	No	<p>Basic skill development Records management training Operational or functional training</p> <p>Note: Does not include training courses included in the Human Resources & Related Records General Schedule.</p>
Grants –Grants Received and Disbursed by State Agencies						
ADM00013	Grant Documentation	<p>This record series documents the administration of a grant program, including the application review process and expenditure of grant funds. It also covers activities relating to grant-funded projects where the agency is the grant recipient or issuer, including the application process, the receipt and expenditure of grant funds or the grant denial.</p>	<p>Event + 4 years and destroy</p> <p>Event is date of final report or notification of denial</p> <p>Note: Grant cycle completion has occurred when all reporting requirements are satisfied and final payments have been received or disbursed for that grant cycle or from the date the grant is denied.</p> <p>If the terms of the grant require other retention, those must be retained under a program-specific RDA.</p>	May Include PII	No	<p>Grant applications Notifications of award or denial of grant funds Contracts Agreement Grant status Narrative and financial reports Supporting documentation</p>

RDA Number	Records Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
Lobbying						
ADM00014	Department Lobbyists, Lobbying Activities and Expenditures	Files containing department lobbying activities and expenditures documentation and reports.	Creation + 2 years and destroy confidential	Yes	No	State agencies employing lobbyists and the lobbyists they employ must report their lobbying-related activities and expenditures every six-months. Reports are due January 31 and July 31 for the prior six-month reporting periods (Jan-June and July-Dec). The State Ethics Board has a form, Statement of Lobbying Activities and Expenditures, that is used, Wis. Stats. 13.62 (8). Includes reports filed under s. 13.695
Staff Notices or Communications						
ADM00015	Internal Newsletters	Periodic communication from department managers to staff covering a variety of topics. Communication could be via e-mail, Intranet or open letter. Note: These newsletters are internal to the organization. Newsletters or other communications designed to communicate with the public should follow the requirements of the DPI Depository program, Wisconsin Statutes Sections 35.81-35.84. The entity in the organization responsible for creating the newsletter is responsible for retaining the record. Copies received by recipients are non-records.	Creation + 1 year and destroy	No	No	Division or program newsletters Department communications

RDA Number	Records Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
Notices (Legal)						
ADM00016	Legal Notices	Documentation associated with required legal notices. Note: Legal notices required for an event should be filed with the specific action/event.	Creation + 1 year and destroy	No	No	
Agency Organization Related						
ADM00017	Agency Organizational Planning Documentation	Includes agency, division and bureau strategic, business and operational planning files such as but not limited to final plan and significant work papers.	Event + 6 years and transfer to WHS or UW-Madison Archives Event is plan completion or superseded or revised Destroy copies, drafts, and routine material when no longer needed	No	No	Strategic plans are typically prepared at the agency level, Business and operational plans are typically executed at the division and bureau level. Records include master copy of plan and essential background documentation
ADM00018	Reorganization Documentation	Documents showing organizational changes within the agency. Files of significant addition, deletion, or transfer of administrative, functional or regulatory, responsibilities, etc.	Event + 2 years and transfer to WHS or the UW-Madison Archives Event is completion of reorganization	No	No	Divisions usually propose reorganizations that are then approved by the agency Secretary. Budget and HR typically review division requests from both budget and HR perspective. Some reorganization proposals may require notice and or approval by the State Budget Office in DOA on behalf of the Governor.

RDA Number	Records Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
ADM00019	Organization Charts – Bureaus, Divisions, Departments	Repository of the official organizational structure of each state agency, its divisions and bureaus.	Event and transfer to WHS or UW-Madison Archives Event is superseded	No	No	
ADM00020	Organization Charts – Sections and Work Units	Repository of the official organizational structure of each state agency section and work unit.	Event and destroy Event is superseded	No	No	
ADM00021	Transition Briefings	Records prepared to provide an overview of the organization during transitions to new management.	Event + 2 years and destroy Event is date prior executive leaves his/her position	No	No	These records would typically be prepared at the division level when a new department secretary is appointed. However, this category could also be used to cover any transition related records prepared by a program manager to assist the transition to their replacement.

RDA Number	Records Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
Open Records						
ADM00022	Open Records Requests and Responses	Records relating to regular and reformulated, repetitious, systematic or continuing requests by individuals, groups or organizations for access to general information under the provisions of the Wis. Stats 19.35-19.37 and the Federal Freedom for Information Act (FOIA).	Event + 3 years and destroy confidential Event is when response is provided	Yes	No	<p>All correspondence and logs. Does not include copies of material sent in response to the request, which is already covered under agency- specific RDAs.</p> <p>Includes original request, notice of change (of scope of request), billing, collection of fees, acknowledgement of receipt of request, follow-up letters and transmittal memorandums, access request review, requests for extension, third party notification, access request review recommendations and summaries, listing of records searched and used to respond to requests, and logs maintained documenting receipt and response of requests.</p> <p>May also include request response package including any redaction of information (if information is kept). If requests are denied, records covered here include request denials and related justification, mediation, representations from third parties, recommendations, court orders, and reviews. Also includes abandoned requests.</p>

RDA Number	Records Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
Policies and Procedures						
ADM00023	Internal Policies and Procedures	<p>Established departmental policies and procedures.</p> <p>Note: May also be called Administrative Practices or Directives or Executive Directives.</p> <p>External policies/regulations/manuals, etc., must be retained under a program-specific RDA.</p>	<p>Event + 7 years and destroy</p> <p>Event is the date the policy and procedure is superseded or made obsolete</p>	No	No	<p>Manuals</p> <p>Manual codes</p> <p>Handbooks, etc.</p>
Surveys – Internal						
ADM00024	Surveys/ Questionnaires- Internal to the Agency	Documents the creation and results of surveys by or for agencies for administrative, informational or research purposes.	Creation +1 year and destroy	No	No	Uses might include customer satisfaction surveys with various department programs or services such as the department's IT related help desk.
Boards, Councils, Commissions						
ADM00025	Boards, Councils, or Commissions	Records associated with boards, councils, commissions established by legislation or Governor's Executive Order.	Creation + 5 years and transfer to WHS or UW-Madison Archives	No	No	<p>Member listings</p> <p>Charter or Project Mandate</p> <p>Operating rules</p> <p>Staff roles/responsibilities</p> <p>Agendas, meeting notes and attached documentation</p> <p>Interim reports, work papers and related presentations</p> <p>Final report and related presentations</p>

RDA Number	Records Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
Teams, Projects or Workgroups						
ADM00026	Team, Project, or Workgroup Documentation – Program/Policy Impact	Records associated with teams, committees, projects, or workgroups established by or among agencies that have program and/or policy impact.	Creation + 5 years and transfer to WHS or UW-Madison Archives	No	No	Agendas, minutes and attached documentation Member listings Charter or Project Mandate Operating rules Staff roles/responsibilities Interim reports, work papers and related presentations Final report and related presentations Work plans Compiled survey results Charts, diagrams Statistics Reports Research materials Other documentation related to management studies, non-fiscal audits, surveys, and planning studies
ADM00027	Team, Project, or Workgroup Documentation – Internal and Routine Activities	Records associated with teams, committees, projects, or workgroups established by or among agencies that have internal impact only.	Creation + 2 years and destroy	No	No	Agendas, minutes and attached documentation Member listings Charter or Project Mandate Operating rules Staff roles/responsibilities Interim reports, work papers and related presentations Final report and related presentations Work plans Compiled survey results Charts, diagrams Statistics Reports Research materials Other documentation related to management studies, non-fiscal audits, surveys, and planning studies
ADM00028	Biographies of Appointed Staff or Equivalent	Biographies (Bios) of appointed staff with or without corresponding headshots are used by	Retain until end of each individual's appointment and	Yes	No	

RDA Number	Records Series Title	Description	Minimum Retention and Disposition	PII	Confidential	Use Case/Example
		Communications Office staff for a variety of purposes, such as providing basic information about these individuals to internal staff, external parties, and for public speaking engagement introductions.	then transfer to WHS or UW-Madison Archives			

APPROVED STATEWIDE GENERAL RECORDS SCHEDULES

Approved General Records Schedules (GRS) can be found on the [Public Records Board's \(PRB\) Home Page](#) under Policies. Agencies Opt-in/Opt-Out procedures and General Retention Schedule Adoption Form for all PRB approved General Retention Schedules, including this one, are also available on the PRB website.

If you need further assistance with a GRS, contact your [agency records officer](#) or the DOA Records Management Section at 266-2996 or 266-2770.